



**UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of: **NIHEI, Mizuhisa et al.**

Group Art Unit: **2815**

Serial No.: **09/746,064**

Examiner: **B. BAUMEISTER**

Filed: **December 26, 2000**

Confirmation No.: **1990**

For: **SEMICONDUCTOR TRIODE DEVICE HAVING A  
COMPOUND-SEMICONDUCTOR CHANNEL LAYER**

Attorney Docket No.: **001701**

Customer Number: **38834**

**INFORMATION DISCLOSURE STATEMENT  
PURSUANT TO 37 C.F.R. §1.97(c)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

May 7, 2004

Sir:

The attention of the U.S. Patent and Trademark Office is hereby directed to the documents listed on the attached PTO/SB/OB.

This Information Disclosure Statement is being submitted after the issuance of a first official action on the merits and expiration of the three month period following the filing date or the entry in the national stage for the above-captioned application, but prior to the issuance of either a Final Office Action, Notice of Allowance, or an action that otherwise closes prosecution in the application.

The undersigned hereby certifies:

☒ That no item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of

information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

The above information is presented so that the Patent and Trademark Office may, in the first instance, determine any materiality thereof to the claimed invention. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references cited in the attached Form PTO/SB/08 is made of record therein and appear on the first page of any patent to issue therefrom.

The Commission is authorized to charge Deposit Account No. 50-2866 for any fee which is deemed by the Patent and Trademark Office to be required to effect consideration of this statement.

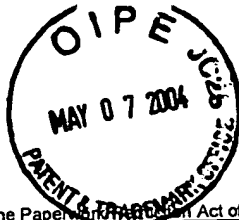
Respectfully Submitted,

**WESTERMAN, HATTORI, DANIELS & ADRIAN, LLP**

A handwritten signature in black ink, appearing to read 'John P. Kong', with a stylized, flowing script.

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PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	09/746.064
		Filing Date	December 26, 2000
		First Named Inventor	NIHEI
		Art Unit	2815
		Examiner Name	B. BAUMEISTER
Sheet 1	of 1	Attorney Docket Number	001701

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		ROSCISZEWSKI et al., "Ground-State Properties of Rutile: Electron-Correlation Effects", The American Physical Society, Physical Review B, Volume 57, Number 23, June 15, 1998,	
		pages 14 667 -14 672	
		ZHANG et al., "Characterization of Ca Impurity Segregation on the TiO <sub>2</sub> (110) Surface", Surface Science 412/412 (1998) 242-251	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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